

1197.0226

ASG/LFD

PLEASE ACCORD THIS APPLICATION A U.S. SERIAL NUMBER AND  
CONFIRM DATE OF SUBMISSION OF THE APPENDED PAPERS

National Stage of International Application No. PCT/JP01/03803 under 35 U.S.C.  
371

BOX PCT

Inventor(s): Shinji AKI et al.

SERIAL NO.

09/869264

SUBMISSION DATE

Dated: June 27, 2001

CASE REF: 01197.0226

CUSTOMER NO.: 22,852

ASG/FPD/peg

JCO9 Rec'd PCT/PT0 27 JUN 2001

2280 7710 5

AS6- Lsh

PLEASE STAMP AND RETURN TO SHOW RECEIPT OF:

National Stage of International Application No. PCT/JP01/03803 under 35 U.S.C. 371, for PROCESS FOR PRODUCING CARBOSTYRIL DERIVATIVES

Inventors: Shinji AKI; Muneaki KURIMURA; Takao NISHI; Jun-ichi MINAMIKAWA; Michiaki TOMINAGA; Nprihiro FUKUYAMA; Akihiro YAMAMOTO

**BOX PCT**

1. Check in the amount of \$860.00.
2. Transmittal Letter concerning a filing under 35 U.S.C. 371. (Duplicate)
3. English translation of International application No. PCT/JP01/03803, comprising 19 sheets, including 16 claims and the REQUEST.
4. Copy of International application as filed comprising 12 sheets, including 16 claims.
5. Information Disclosure Statement and Information Disclosure Citation, PTO-1449 with 3 documents attached.

Dated: June 27, 2001

CASE REF: 01197.0226

CUSTOMER NO.: 22,852

ASG/FPD/peg

(Due Date:06/30/01)



Dkt  
6-28-4  
cm

JP  
6-28-4

VENDOR I.D./GL#	INVOICE DATE	INVOICE #	INVOICE AMOUNT
01197 0025 00000	06/27/01	50324	860.00
PEG 360			860.00

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371ATTORNEY'S DOCKET NUMBER  
01197.0226U.S. APPLICATION NO.  
(If known, see 37CFR1.5)

INTERNATIONAL APPLICATION NO.

PCT/JP01/03803

INTERNATIONAL FILING DATE

May 2, 2001

PRIORITY DATE CLAIMED

TITLE OF INVENTION

PROCESS FOR PRODUCING CARBOSTYRIL DERIVATIVES

APPLICANT(S) FOR DO/EO/US

Shinji AKI; Muneaki KURIMURA; Takao NISHI; Jun-ichi MINAMIKAWA;  
Michiaki TOMINAGA; Norihiro FUKUYAMA; Akihiro YAMAMOTO

Applicant(s) herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2)).
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed with the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154 (d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)).
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☒ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A Substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154 (d)(4).
19. ☐ A second copy of the English language translation of the international application 35 U.S.C. 154 (d)(4).
20. ☒ Other items or information:
  - a. ☐ Copy of cover page of International Publication No. WO
  - b. ☐ Copy of Notification of Missing Requirements.
  - c. ☒ A copy of the Request.

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.  
PCT/JP01/03803ATTORNEY'S DOCKET NUMBER  
01197.022621. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO .....

\$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO .....

\$860.00

International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search fee (37 CFR 1.445(a)(2)) paid to USPTO .....

\$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....

\$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33 (1)-(4) .....

\$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than  
months from the earliest claimed priority date (37 CFR 1.492 (e)).☐ 20 ☐ 30

\$

CLAIMS

NUMBER FILED

NUMBER EXTRA

RATE

Total Claims

16

- 20 =

x \$18.00

\$

Independent Claims

1

- 3 =

x \$80.00

\$

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+\$270.00

\$

TOTAL OF THE ABOVE CALCULATIONS =

\$860.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

\$

SUBTOTAL =

\$860.00

Processing fee of \$130.00 for furnishing the English translation later than  
months from the earliest priority date (37 CFR 1.492(f)).☐ 20 ☐ 30

\$

TOTAL NATIONAL FEE =

860.00

Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by  
an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.

\$

TOTAL FEES ENCLOSED =

\$860.00

Amount to be  
refunded:

\$

charged:

\$

- a. ☒ A check in the amount of \$ 860.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. 06-0916. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information  
should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b))  
must be filed and granted to restore the application to pending status.

## SEND ALL CORRESPONDENCE TO:

Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P  
1300 I Street, N.W.  
Washington, D.C. 20005-3315

SIGNATURE

Arthur S. Garrett, Reg. No. 20,338

NAME/REGISTRATION NO.

DATED: June 27, 2001